



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of

Thomas J. SULESKI, et al.

Art Unit: 1756

Serial No. 09/994,867

Examiner: John A. McPherson

Filed: November 28, 2001

Confirmation No. 9802

For: TRANSFER OF OPTICAL ELEMENT PATTERNS ON A SAME SIDE
OF A SUBSTRATE ALREADY HAVING A FEATURE THEREON

INFORMATION DISCLOSURE STATEMENT
UNDER 37 C.F.R. §1.56

Commissioner for Patents
Alexandria, VA 22313-1450

Sir:

Submitted herewith on Form PTO/SB/08 (or PTO-1449, *modified*) is a listing of a document(s) known to applicant in order to comply with applicant's duty of disclosure pursuant to 37 C.F.R. §1.56.

☒ A copy of each listed document is being submitted to comply with the provisions of 37 C.F.R. §§1.97 & 1.98. [Box checked if applicable.]

☐ A copy of each listed non-U.S. patent and/or patent publication and cited literature is being submitted to comply with the provisions of 37 C.F.R. §§1.97 & 1.98. Cited U.S. patents and patent publications are *not* attached in accordance with the waiver set forth in the Notice by the Deputy Commissioner for Patent Examination Policy dated July 11, 2003, applicable to applications having a U.S. filing date *after* June 30, 2003. [Box checked if applicable.]

* * *

The submission of any document herewith, which is not a statutory bar, is not intended as an admission that such document constitutes prior art against the claims of the present application. Applicant does not waive any rights to take any action that would be appropriate to antedate or otherwise remove as a competent reference any document which is determined to be a *prima facie* prior art reference against the claims of the present application.

09/15/2004 AADDF01 00000060 501364 09994867

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☐ The listed document(s) is/are being submitted in compliance with 37 C.F.R. 1.97(b)(3): submission before the mailing date of the first action on the merits. [Box checked if applicable.]

☒ The foregoing document(s) came to applicant's attention during the prosecution of their corresponding PCT application. ☒ A copy of the PCT Search Report is also attached. [Box(es) checked if applicable.]

CERTIFICATION

☐ The undersigned hereby certifies in accordance with 37 CFR §1.97(e)(1) that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of this Statement. [Box checked if applicable.]

* * *

Applicant respectfully requests that the listed document(s) be considered by the Examiner and be made of record in the present application and that an initialed copy of Form PTO/SB/08 be returned in accordance with MPEP §609.

* * *

FEE PAYMENT

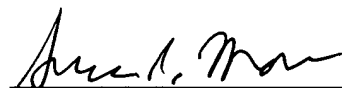
☒ The fee mandated by 37 C.F.R. §1.17(p) is believed applicable. [Box checked if applicable.]

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☒ This fee may be charged to Deposit Account No. 50-1364. (A duplicate copy of this paper is enclosed.) [Box checked if applicable.]

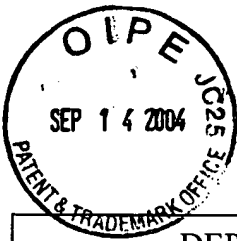
Respectfully submitted,

September 14, 2004
Date



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Substitute for form 1449/P

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet	1	of	2
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Complete if Known

Application Number	09/994,867
Filing Date	November 28, 2001
First Named Inventor	SULESKI
Art Unit	1756
Examiner Name	J. McPhearson
Attorney Docket Number	280/075

U. S. PATENT DOCUMENTS

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FOREIGN PATENT DOCUMENTS

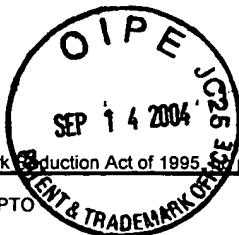
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Examiner Signature		Date Considered	
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**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Complete if Known

Application Number 09/994,867

Filing Date November 28, 2001

First Named Inventor SULESKI

Art Unit 1756

Examiner Name J. McPherson

Attorney Docket Number 280/075

Sheet 2 of 2

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	3.	Patent Abstracts of Japan, Vol. 011, No. 293 (P-619), 22 Sept. 1987, & JP 62 088149 A (Hitachi Ltd.)	
	4.	NUSSBAUM, et al., *, Proceedings of the SPIE, Vol. 3226, pp. 32-43, (1997)	
		*Entitled: "Refractive and diffractive elements for micro-optical systems"	
	5.	FERSTL, et al., **, Ann. Report 1998, Heinrich-Hertz-Institute fur Nachrichtentechnik, 109-112, 1999	
		** Entitled: "Commercial Fabrication of Micro-Structures and Micro-Optical Elements for Research..."	
	6.	STERN, ***, Microelectronic Engineering, Vol. 34, No. 3-4, pp. 299-319, (1 December 1997)	
		*** Entitled: "Pattern transfer for diffractive and refractive microoptics"	
	7.	MONTAMEDI, et al., ****, Opt.Eng. 36(5): 1282-1297 (May 1997)	
		****Entitled: "Micro-opto-electro-mechanical devices and on-chip optical processing"	
	8.	WU, et al, "Micromechanical Photonic Integrated...", IEICE Trans. Electron, Vol. E83C:903-911 6/2000	

Examiner
SignatureDate
Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

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